

UNITED STATES DEPARTMENT OF COMMERCE Patent and Trademark Office ASSISTANT SECRETARY AND COMMISSIONER OF PATENTS AND TRADEMARKS Washington, D.C. 20231

To:

Technology Center 2760

From:

Dora Stroud, Supervisor

OIPE Customer Service Charge Location 0350

Subject: Customer Requests

Serial Number:

File Location:

The attached request for a corrected file receipt has been completed. Please forward the case to OIPE, Customer Service, CP2-6th Floor.

If you decide to keep the case, assign the request a paper number, endorse contents, punch holes in the documents, and replace the old Bib Data sheet with the updated version in the center of the file.

Your cooperation is greatly appreciated.

PTO/SB/21 (modified)

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Approved for	use through xx/xx/xx,	OMB 0651-003
Patent and Trademark Office:	U.S. DEPARTMENT	OF COMMERC

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li .		1 (1(1)(2)(4)		U.S. Department of Patent and Trade		Application Number	09/289,550
PRIENTS	RADEN	ATT.				Filing Date	April 9, 1999
			TRA	ANSMITTAL FOR	First Named Inventor	Richard W. Friesen	
		(to b	e used fo	or all correspondence during pe filed application)	endency of	Group Art Unit Number	2773
						Examiner Name	Not Yet Known
		Total	Number	of Pages in This Submission	11	Attorney Docket Number	3854
				FNO	2011250	/	1

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			Exa	mine	Name	Not Yet Know	₩n	
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	ENCL	OSURES	(cl	heck	all that apply	<i>(</i>)		
Fee Transmittal	Form (in duplicate)				Issue Fee Transi	mittal		
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Signature:	De	Les -						
Attorney/Reg. No.:	Dana S. Rao/Reg. No	. 43,875				Dated:	6/2	13/99
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first class mail in an enve the Express Mail Mailing	orrespondence, including to lope addressed to: The As Number is filled in below, to ssee" service pursuant to	sistant Commis hen this corres	ssione	r for P	atents, Washington,	D.C. 20231 on t	the date sho	own below. If
Signature:	7	2	\			-		
Typed or Printed Nam	ne: Dana S. Rao					Dated:	6/3	3/99
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PTO/SB/17 (6-95)(modified)
Approved for use through 11/30/96, OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

2/PTO(modified) Rev. 10/95

U.S. Department of Commerce Patent and Trademark Office

Complete if Known Application Number 09/289,550 April 9, 1999 Filing Date First Named Inventor Richard W. Friesen Group Art Unit 2773 Not Yet Known Examiner Name 3854

FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = (2) 00

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N	NETHOD OF	PAYMENT		FE	E CALCULATION	ON (continued)	
1. The Com	missioner is l	hereby authorized to:	3. ADDITIO					
	arge the indicated	d fees to the below	Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description			Fee Due
l	•		105/\$130	205/ \$65	Surcharge - late fit	ling fee or oath		
CFI	R 1.16 - 1.21 or c	al fee required under 37 credit any over payments ned deposit account. †	127/\$50	227/ \$25	Surcharge-late pro	ovisional filing fee o	r cover sheet	
l		·	147/ \$2, 520	147/ \$2,520	For filing a reques	t for reexamination		
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	unt Number: 19 unt Name: FEI	9-2555 NWICK & WEST LLP	117/\$870	217/\$435	Extension for resp	onse within third me	onth [†]	
			118/ \$1,360	218/ \$680	Extension for resp	onse within fourth n	nonth [†]	
<u> </u>	yment Enclos	norization is attached	128/ \$1,850	228/ \$925	Extension for resp	onse within fifth mo	nth [†]	
] Other	119/ \$300	219/ \$150	Notice of Appeal		70	70
1. FILING F	EE	(fees effective 11/12/98)	141/\$1,210	241/ \$605	Petition to revive usuapplication	unintentionally aban	doned C	
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108/ \$760	208/ \$380	Reissue Filing	123/\$50	123/ \$50	Petitions related to	provisional applica	ations	
114/\$150	214/\$75	Provisional	126/ \$240	126/ \$240	Submission of Info	ormation Disclosure	Statement	
114/\$100	214/4/0	Filing	581/ \$40	581/ \$40	Recording each pa (times number of p	atent assignment pe properties)	er property	
2. CLAIMS	SUBTOTA	AL (1) (\$).00	146/ \$760	246/\$380	Filing a submission (37 CFR 1.129(a))	n after final rejection	n	
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103/\$18	203/\$9	Claims in excess of 20	Othe	r fee (specify):				
102/\$78	202/\$39	Independent claims in excess of 3		r fee (specify):				
104/ \$260	204/\$130	Multiple dependent claim				SUBTOTA	AL (3) (\$)	.00
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Typed or Print	ed Name Da	ına S. Rao				Reg. Number	43,875	
Signature		Do	_			Date	6/23/	99
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IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

APPLICANT(S). Richard W. Friesen and Peter C. Hart

SERIAL NO.:

09/289,550

FILING DATE:

April 9, 1999

TITLE:

User Interface for an Electronic Trading System

RECEIVED

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TO 21:30 MAIL ROOM

EXAMINER:

Not Yet Known

GROUP ART UNIT:

2773

ATTY. DKT. NO.:

3854

CERTIFICATE OF MAILING
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an
envelope addressed to: Assistant Commissioner For Patents, Washington, P.C. 20221, on the date shown below:
Dated: 6/73/99 By:
Dana S. Rao, Reg. No.: 43,875

ASSISTANT COMMISSIONER FOR PATENTS APPLICATION PROCESSING DIVISION CUSTOMER CORRECTION BRANCH WASHINGTON, DC. 20231

REQUEST FOR CORRECTED FILING RECEIPT

SIR:

Enclosed is a copy of the Official Filing Receipt. It contains the following errors:

- 1. The total number of drawings is erroneously stated as 13. The correct total number of drawings is 14, as evidenced by our postcard, a copy of which is enclosed.
- 2. The number of total claims is erroneously stated as 38. The correct number of total claims is 58, as evidenced by the fee transmittal, a copy of which is enclosed.
- 3. The Applicant's name is erroneously stated as "Richard Friesen". The correct Applicant's name is "Richard W. Friesen" as evidenced by the executed Declaration, a copy of which is enclosed.

	4.	The city of residence f	or Applicant Peter C. Hart is erroneously stated as
"San Rafa <u>c</u>	l". The	correct Applicant's city	of residence is "San Rafael" as evidenced by the
executed De	eclaratio	on, a copy of which is en	closed.
	Please	e issue a corrected Filing	Receipt rectifying these errors.
	$ \overline{\square} $	The corrections are no	t due to any error by the Applicant and therefore no
fee is due.			
		C'ura Alamatana Gal	and the second s
	LJ		e corrections is due to Applicant's error, payment in
the amount	of \$25,	pursuant to 37 CFR § 1.	19(h), is enclosed.
			Respectfully submitted,
			RICHARD W. FRIESEN and
			PETER C. HART
	\wedge	- /a	\bigcap \bigcap
Dated:	6/	73/79	By: Amh
	* .,,		Dana S. Rao, Reg. No.: 43,875
			Fenwick & West LLP
			Two Palo Alto Square
			Palo Alto, CA 94306
			Tel.: (650) 858-7816
			Fax.: (650) 494-1417

PTO-103X (Rev. 8-95)

FILING RECEIPT

CORRECTED



Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER F	ILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
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JUN 1 4 1999

FENWICK & WEST LLP.

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the filing Receipt with the changes noted thereon.

Applicant(s)

RICHARD FRIESEN, FAIRFAX, CA; PETER C. HART, SAN RAFACL, CA.

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 04/28/99 ** SMALL ENTITY ** TITLE

USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM

PRELIMINARY CLASS: 345

RECEIVED

JAN -4 2000
TC 2700 MAIL ROOM

DATA ENTRY BY: FORD, EVELYN

TEAM: 04 DATE: 06/10/99



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Date Mailed: 1999 Atty/Sec: DS	SR/dkc Filing Date: 4/9/99					
Serial No. Not Yet Khoun	Docket No.: 3854					
Applicant(s): Richard W. Friesen and Peter (C. Hart					
Title: User Interrace for an Electronic Trading System						
Please imprint Patent Office "date stamp" hereon	to indicate receipt and then return card to addressee					
☑ 46 pages of Specification, Claims, & Abstract	☐ Amendment/Response					
☑ 14 sheets of formal drawings	☐ PTO-1533 & Resp. to Notice Of Missing Parts					
☐ Provisional Application Cover Sheet	□ Request to Correct Filing Receipt					
☑ New Utility Application Transmittal	☐ Request to Correct Assignment					
☑ Fee Transmittal (in duplicate)	☐ IDS, PTO-1449, and cited references					
☑ Declaration	☐ Issue Fee Transmittal					
☐ Assignment & Recordation Cover Sheet	□±etter to Chief Draftsperson					
☑ Small Entity Statement	☐ Maintenance Fee Payment					
□ New Design Application Transmittal	☐ Request for Certificate of Correction					
☐ CPA Request Transmittal	☐ Notice of Appeal					
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PTO/SB/17 (6-95)(modified)
Approved for use through 11/30/96, OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Complete if Known

| New York | Free | Page 1 | Page 2 | P Application-Number Not Yet Known April 9. 1999 Filing Date Richard W. Friesen First Named Inventor Not Yet Known Group Art Unit Not Yet Known Examiner Name 3854

TOTAL AMOUNT OF PAYMENT

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'(*)] Other	119/\$300	219/\$150	Notice of A	ppeal $\frac{2}{3}$	
FEE CAL		(fees effective 11/12/98)	141/\$1,210	241/\$605	Petition to application	revive unintentionally abandoned	
Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Fee Description Due	142/\$1,210	242/\$605	Utility Issue	a Fee (Or Reissue)	4 4
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11445130		Filing	. 581/\$40	581/\$40	Recording (times num	each patent assignment per property nber of properties)	
2. CLAIMS	SUBTOTA	AL (1) (\$)380	146/\$760	246/\$380	Filing a su (37 CFR 1	bmission after final rejection .129(a))	
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103/\$18	203/\$9	Claims in excess of 20	0	ther fee (specify):			
102/\$78	202/\$39	Independent claims in excess of 3	0	ther fee (specify):			
104/\$260	204/\$130	Multiple dependent claim				SUBTOTAL (3)	(\$).00
109/\$78	209/\$39	Reissue independent claims over original patent		(Col. 1) No. of xisting	(Col. 2 Higher		Fee Due
110/\$18	210/\$9	Reissue claims in excess of 20 and over original	TOTAL	58 minus*	20 or	= 38 x 9	= 342
		patent	INDEP	12 minus* st presentation of	3 or	= 9 x 39	= 351
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SUBMITTED BY Complete (if applicable) Dana S. Rao Reg. Number 43,875 Typed or Printed Name 19/99 Date Signature

Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby





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0010/P1 Rev. 6/9			ment of Commerce Frademark Office	Attorney Docket Number	3854	
				First Named Inventor	Richard W. Friesen	
	•	RATION		. COMPLETE IF KNOWN		
UTILITY OR DESIGN PATENT APPLICATION				Application Number	09/289,550	
				Filing Date	April 9, 1999	
. ,	.		_	Group Art Unit	2773	
[]	Declaration Submitted with Initial Filing	OR [X]	Declaration Submitted after Initial Filing	Examiner Name	Not Yet Known	
	elow named inventor, I					

As a below named inventor, I hereby d	eclare that:		
My residence, post office address, and	citizenship are as stated below next to my nam	e .	
I believe I am the original, first and sol	e inventor (if only one name is listed below) or bject matter which is claimed and for which a	an original, first and joint inventor (if	
U	SER INTERFACE FOR AN ELECTRONIC	CTRADING SYSTEM	岩田
the specification of which	(Title of the Invention)		5 7 1
[] is attached hereto		•	WILL ST
OR			是自己
[X] was filed on (MM/DD/YYYY) A	pril 9, 1999 as United States Application Num	ber or PCT International	'A B
	as amended on (MM/DD/YYYY) [ROOM
I hereby state that I have reviewed and amended by any amendment specifical	understand the contents of the above identified ly referred to above.	I specification, including the claims, as	3
I acknowledge the duty to disclose info Regulations. § 1.56.	rmation which is material to patentability as de	efined in Title 37 Code of Federal	

I hereby claim foreign priority benefits under Title 35, United States Code § 119 (a)-(d) or § 385(b) of any foreign application(s) for patent or inventor's certificate, or § 365 (a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

rior Foreign Application Country		Foreign Filing Date	Priority	Certified Copy Attached?			
Number(s)	(MM/DD/YYYY)		Not Claimed	YES	NO		
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I hereby claim the benefit under Title 35.	United States Code § 119(e) of any United St	ates provisional application(s) listed below.
Application Number(s)	Filing Date (MM/DD/YYYY)	[] Additional provisional
		application numbers are
		listed on a supplemental
		shoot attached basets

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I hereby claim the benefit unde international application design claims of this application is not the first paragraph of Title 35, patentability as defined in Title prior application and the nation	tating the United disclosed in the United States Code of Feat or PCT inter	ed States on the prior Un Code § 112 ederal Reg mational f	of Amonited S 2, I acludition	erica, l States (knowle ons § 1 date of	isted be or PCT edge the .56 whi this app	low inter duty ch be	and, ins national y to disc ecame a tion.	ofar as l applic close in	the su ation forma	bject main the main t	atter of anner pich is m	each of provided	the i by	
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[] Additional attorney(s) and		med on a	suppl	ement	al sheet	attac	hed her	eto.				-		
Please direct all correspondence to		Tv	enwic vo Pa alo Al	lo Alte	est LLI Squar 9430	re								
Telephone (650) 858-7816					F	ax	(650) 494-1	417					
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Name of Sole or First In			A peti			filed	for this	unsign	red in	ventor				
Name Richard	Middle Initial	Middle nitial W.			Family Name Friesen						uffix g. Jr.			
Inventor's Signature		_						Date	5	12019	9			
Residence: City Fairfax		Stat	State CA		Countr		y U.S.A.		Citizens					
Mailing Address			•		4				₋ -			<u> </u>		
Mailing Address 132 Rid	ge Road						-					· <u> </u>		
City Fairfax		Sta	ate	CA	Zip	94	930		Count	ry U.	.S.A.			
[X] Additional inventors are be	ing named on	supplemer	ıtal sh	eet(s)	attached	i her	eto		·	1				

DECLARATION						ADDITIONAL INVENTOR(S) Supplemental Sheet									
	onal Joint Inventor	, if a	ny:			A petition has been filed for this unsigned inventor									
Given Name Peter		Middle Initial C.				Family Name Hart					Suffix e.g. Jr.				
Inventor's Signature Residence: City San Rafael State C						Date									
Residence: City San Rafael				State		Count	try U.S.A		h.		Citizenship		Can	Canadian	
Mailing Address	53 Oakdale Avenue														
Mailing Address						-							-	-	
City San Rafael			Sta	ate	CA	Zip	94	901		Coun	try	U.S.A	•		
Name of Additi	onal Joint Inventor	, if a	ny:	Τ	[]	A petitio	on ha	s been	filed fo	or this	unsig	gned inv	entor		
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Inventor's Signature				·	1	- Turito	<u> </u>		Date				e.g. Jr.		
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